

02-18-05

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Attorney Docket No. 061165-0011-US

IFW

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:	Waelbroeck	Art Unit:	3624
Application No.	10/603,100	Examiner:	N/A
Filed:	Jun 24, 2003	Confirmation No.	1663
		Attorney Docket No.	061165-0011

Title:	CONFIDENTIAL BLOCK TRADING SYSTEM AND METHOD
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INFORMATION DISCLOSURE STATEMENT

MAIL STOP AMENDMENT

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450,

Sir:

In accordance with the duty of disclosure provisions of 37 C.F.R. §1.56, there is hereby provided certain information which the Examiner may consider material to the examination of the subject U.S. patent application. It is requested that the Examiner make this information of record if it is deemed material to the examination of the application.

1. Enclosures accompanying this Information Disclosure Statement are:

1a. ☒ A list of all patents, publications, applications, or other information submitted for consideration by the office (PTO Form 1449).

1b. ☒ A legible copy of:

- ☒ Each U.S. patent application publication and U.S. and foreign patent;
- ☐ Each publication or that portion which caused it to be listed on the PTO-1449;
- ☐ For each cited pending U.S. application, the application specification including the claims, and any drawing of the application, or portion of the application which caused it to be listed on the PTO-1449 including any claims directed to that portion;
- ☐ all other information or portion which caused it to be listed on the PTO-1449.

1c. ☐ An English language copy of search report(s) from a counterpart foreign application or PCT International Search Report.

- 1d. ☐ Explanations of relevancy (ATTACHMENT 1(d), hereto) or English language abstracts of the non-English language publications.
2. ☒ This Information Disclosure Statement is filed under 37 C.F.R. §1.97(b):
- 2a. ☐ Within three months of the filing date of a national application other than a continued prosecution application under §1.53(d);
- 2b. ☐ Within three months of the date of entry of the national stage as set forth in §1.491 in an international application;
- 2c. ☒ Before the mailing of the first Office action on the merits;
- 2d. ☐ Before the mailing of a first Office action after the filing of a request for continued examination under §1.114.
3. ☐ This Information Disclosure Statement is filed under 37 C.F.R. §1.97(c) after the period specified in 37 C.F.R. §1.97(b), but before the mailing date of any of a final action under 37 C.F.R. §1.113, a notice of allowance under 37 C.F.R. §1.311 or an action that otherwise closes prosecution in the application.

*(Check either Item 3a or 3b)*

- 3a. ☐ The Certification Statement in Item 5 below is applicable. Accordingly, no fee is required.
- 3b. ☐ The \$180.00 fee set forth in 37 C.F.R. §1.17(p) in accordance with 37 C.F.R. §1.97(c) is:
- ☐ enclosed
- ☐ to be charged to Morgan Lewis & Bockius LLP Deposit Account No. 50-0310.  
(Item 3b to be checked if any reference known for more than 3 months)
4. ☐ This Information Disclosure Statement is filed under 37 C.F.R. §1.97(d) after the period specified in 37 C.F.R. §1.97(c), but on or before the date of payment of the issue fee.

The \$180.00 fee set forth in 37 C.F.R. §1.17(i)(1) is:

- ☐ enclosed.
- ☐ to be charged to Morgan Lewis & Bockius LLP Deposit Account No. 50-0310.

The Certification Statement in Item 5 below is applicable.

5. ☐ Certification Statement *(applicable if Item 3a or Item 4 is checked)*

*(Check either Item 5a or 5b)*

- 5a. ☐ In accordance with 37 C.F.R. §1.97(e)(1), it is certified that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.

5b. ☐ In accordance with 37 C.F.R. §1.97(e)(2), it is certified that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the undersigned after making reasonable inquiry, was known by any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

5c. ☐ Pursuant to 37 C.F.R. §1.704(d), each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application, and the communication was not received by an individual designated in 37 C.F.R. §1.56(c) more than thirty days prior to the filing of this Information Disclosure Statement.

6. ☐ This application is a continuation application under 37 C.F.R. §1.60 or §1.53(b) or (d).

*(Check appropriate Items 6a, 6b and/or 6c)*

6a. ☐ A Petition to Withdraw from issue under 37 C.F.R. §1.313(b)(5) is concurrently filed herewith.

6b. ☐ Copies of publications listed on Form PTO-1449 from prior application Serial No. \_\_\_, filed on \_\_\_, of which this application claims priority under 35 U.S.C. §120, are not being submitted pursuant to 37 C.F.R. §1.98(d).

6c. ☐ Copies of the publications listed on Form PTO-1449 were not previously cited in prior application Serial No. \_\_\_, filed on \_\_\_, and are provided herewith.

7. ☐ This is a Supplemental Information Disclosure Statement. *(Check either Item 7a or 7b)*

7a. ☐ This Supplemental Information Disclosure Statement under 37 C.F.R. §1.97(f) supplements the Information Disclosure Statement filed on \_\_\_\_\_. A bona fide attempt was made to comply with 37 C.F.R. §1.98, but inadvertent omissions were made. These omissions have been corrected herein. Accordingly, additional time is requested so that this Supplemental Information Disclosure Statement can be considered as if properly filed on \_\_\_\_\_.

7b. ☐ This Supplemental Information Disclosure Statement is timely filed within one (1) month of a PTO Notice under 37 C.F.R. §1.97(i).

8. ☐ In accordance with 37 C.F.R. §1.98, a concise explanation of what is presently understood to be the relevance of each non-English language publication is:

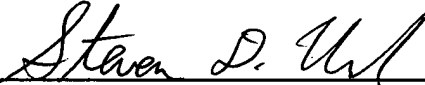
*( Check Item 8a, 8b, or 8c)*

8a. ☐ satisfied because all non-English language publications were cited on the enclosed English language copy of the PCT International Search Report or the search report from a counterpart foreign application indicating the degree of relevance found by the foreign office.

- 8b. ☐ set forth in the application.
- 8c. ☐ enclosed as an attachment hereto.
9. ☒ The Commissioner is authorized to charge any additional fee required or credit any overpayment for this Information Disclosure Statement and/or Petition to Morgan Lewis & Bockius LLP Deposit Account No. 50-0310.
10. ☒ No admission is made that the information cited in this Statement is, or is considered to be, material to patentability, nor is this a representation that a search has been made (unless a search report for a foreign counterpart application or PCT International Search Report is submitted herewith). 37 C.F.R. §§1.97(g) and (h).

Respectfully submitted,

Date: February 17, 2005

  
Steven D. Underwood (Reg. No. 47,205)  
**MORGAN, LEWIS & BOCKIUS LLP**  
1111 Pennsylvania Ave., N.W.  
Washington, DC 20004  
(212) 309 6632  
Customer Number No. 048591

**INFORMATION DISCLOSURE CITATION**  
(Use several sheets if necessary)

**PTO Form 1449 (Modified)**  
**List of References**

Attorney Docket No.  
061165-0011-US

Serial No.  
10/603,100

Applicants  
Waelbroeck et al.

Filing Date  
Jun 24, 2003

Group  
3624

**U.S. PATENT DOCUMENTS**

*Examiner Initial	Document Number	Date	Name	Class	Sub Class	Filing Date
	5,950,177	07 SEP 99	Lupien et al.			
	5,924,082	13 JUL 99	Silverman et al.			
	5,794,207	11 AUG 98	Walker et al.			
	5,842,178	24 NOV 98	Giovannoli			
	5,724,524	03 MAR 98	Hunt et al.			
	5,717,989	10 FEB 98	Tozzoli et al.			
	5,136,501	04 AUG 92	Silverman et al.			
	6,285,983	04 SEP 01	Jenkins			
	6,236,979	22 MAY 01	Kawabata			
	6,421,653	16 JUL 02	May			
	6,260,025	JUL 2001	Silverman et al.			
	us 2003/0004859	Jan 2003	Shaw et al			

FOREIGN PATENT DOCUMENTS							
	Document Number	Date	Country	Class	Sub Class	<u>Translation</u>	
						YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)		

Examiner	Date Considered
Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	